

Continuity of Operations Actions

Executive Summary

California must be prepared to continue operations during any type of threat or emergency, and must be able to quickly and effectively resume essential business functions if these operations are interrupted. The overall purpose of continuity planning is to ensure the safety and security of the public, and the resumption of time-sensitive operations and services for all California citizens regardless of the type of emergency. The guide provides the framework for the implementation and recovery actions necessary to continue essential functions during any emergency or situation until restoration of normal operations.

Statutory, Regulatory, or Administrative Requirements (Including as Policy/Procedure)

- The Emergency Services Act, Section 8650
- Executive Order W-9-91
- G.C. Code § 8560
- California State Emergency Plan (SEP)
- Executive Order S-04-06
- Cal OES Executive Branch Continuity Plan
- State Administrative Manual, Management Memo 02-09 (#6)
- PPD-8/NSPD-51/HSPD-20
- FCD 1 and 2
- CGC 1 & 2

Operational Objectives

The guide looks at the overall capacity and capability for State Agencies and Departments to continue organizational essential business functions and sustain the eleven State Essential Functions (SEFs) across a wide range of emergencies. To re-establish core essential business functions, each state agency must use the following operational objectives:

State Operational Objectives	
Objective Number	Operational Objectives - coordinate the capability to continue Mission Essential Functions (MEFs) and State Essential Functions (SEFs) across a wide range of emergencies.
1	Ensure continuous performance of organizational critical business functions and sustain SEFs during an emergency.
2	Reduce injury or loss of life and minimize damage and losses.
3	Protect, maintain and preserve communications and technological capabilities.
4	Protect essential facilities, equipment, essential records and other assets.
5	Reduce or mitigate disruptions to operations.
6	Facilitate decision-making for execution of the Plan and conduction of operations and subsequent implementation.
7	Achieve a timely and orderly recovery from an emergency and resumption of full service to California citizens.

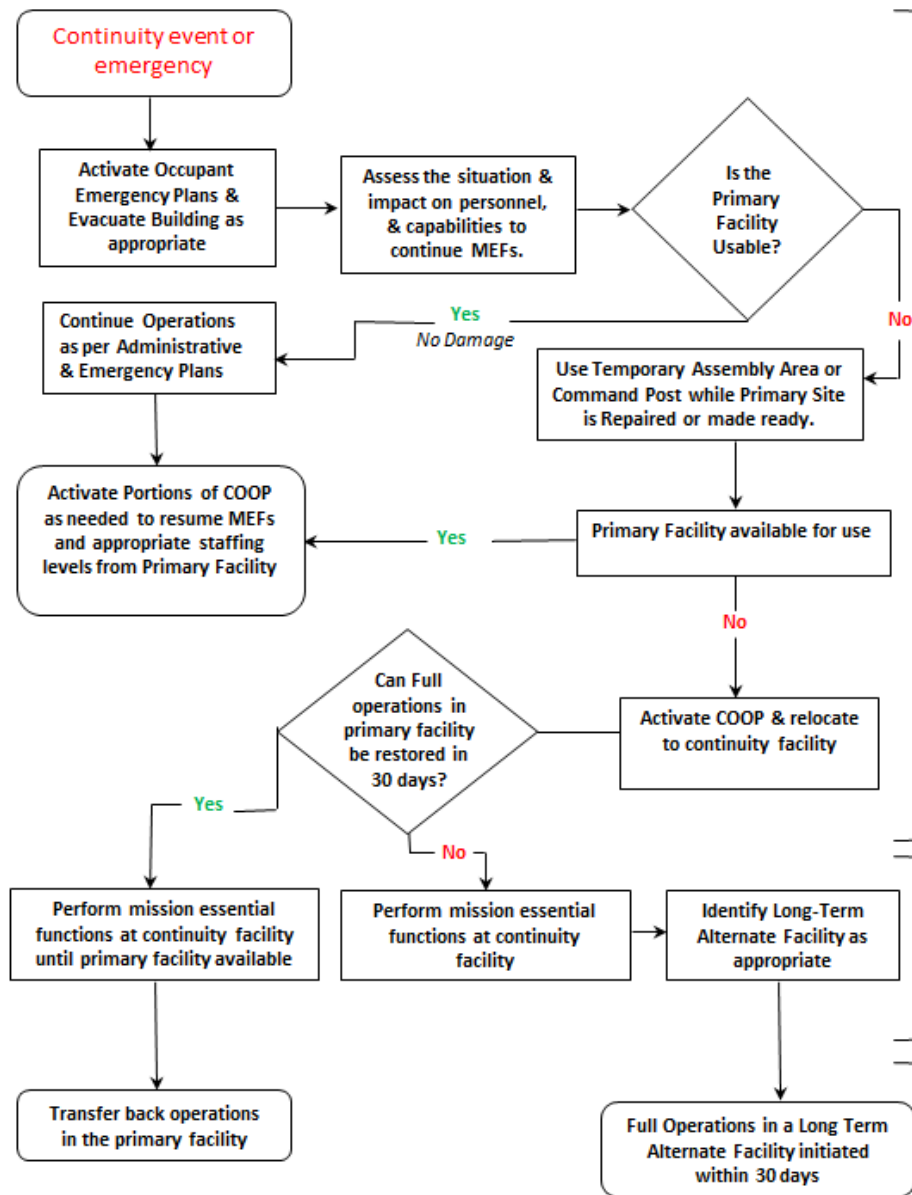
State Essential Functions (SEFs)

Listed below is an insert from Cal OES's Continuity Guidance and Executive Branch Continuity Plan that uses an "all hazards" strategy for the coordination of state agencies to provide support for the re-establishment of State Essential Functions. These specific eleven areas support an enduring constitutional government and continuing government vital services for California citizens that if significantly disrupted, could degrade the fundamental mission of all state and local agencies as responsible and reliable public institutions.

State Essential Functions	LEAD Responsible Agency and/or Department Head
Government Leadership (GL) – Provides visible and effective leadership for the people of California while restoring and maintaining critical state essential functions.	Governor Secretary of State (Lines of Succession validated)
Public Safety (PS) – Maintains public safety and security for the people of California and decreases their vulnerability to threats and hazards.	Cal STA
Emergency Management (EM) – Protects and preserves the lives, property and environment for the people of California from the effects of natural, technological or human-caused disasters.	Cal OES
Medical/Health (MH) – Ensures the continuity and strength of California's medical, public health, mental-health organizations and systems. Supports the health and well-being of the people of California.	CHHS
Social Services and Education (SSE) – Ensures the continuation of essential social services for the people of California, including services for vulnerable populations, victims of crime and special needs populations. Supports the continued operation of California's educational systems (both public and private) at all levels of government.	CHHS
Critical Infrastructure (CI) – Preserves California's infrastructure, including its transportation systems, energy systems, utilities, dams and other critical components. Supports and sustains the personnel required to operate and maintain the physical infrastructure.	Cal STA/CNRA (CUEA) (BCSHA)
Financial, Economic and Business (FEB) – Ensures the financial and economic security of California's business, financial systems/institutions and its citizens. Preserves and supports California's labor/workforce. Protects and preserves California's tax and revenue collection capabilities to ensure continuity of California's government.	Cal STA/DOF (BCSHA)
Information Technology/Communications (ITC) – Protects, maintains and preserves California's communications and technological capabilities. Ensures continued interoperability of California's communications systems.	CTA/Dept. of Tech
Agriculture (AG) – Promotes and preserves the livelihood of California's agricultural community and all its members. Ensures continuation of existing agriculture training and education programs. Ensures that California's agriculture remains strong and competitive.	CDFA
Environment (EN) – Protects, preserves and restores California's natural environment, ecosystems, resources and natural habitats and the impacts of natural disasters or other events.	Cal EPA
Information Collaboration (IC) – Encourages and enhances information sharing and collaboration between Local/State/ Federal and Private Sectors to more effectively respond and recover from all threats and protect the citizens of California.	Cal OES

Continuity of Operations Decision Matrix

Continuity Preparedness Phases



Phase I

Readiness and Preparedness
Plan Development, Review. Training,
Testing, Improving and Updating

Phase I - covers the full spectrum of readiness and preparedness activities to ensure all critical business essential functions can continue in an all-hazard risk environment. Readiness activities are divided into two key areas:

- Organization readiness and preparedness
- Staff readiness and preparedness

Phase II

Alert, Notification and Relocation
Implement Administrative and
Emergency Procedures

Phase II - explains Continuity of Operations Plan activation procedures and relocation procedures from the primary facility to the continuity facility. The plan provides a process or methodology for attaining operational capability at the continuity site(s) with minimal disruption to operations within 6 -12 hours of plan activation. This phase also addresses procedures and guidance for non-relocating personnel.

Phase III

Continuity of Operations - Re-establish
and Sustain Essential Functions

Phase III - identifies operational procedures for the continuation of essential business functions.

Phase IV

Reconstitution and Recovery - Return to
Normal Operations

Phase IV - outlines the plan to return to normal operations once it is determined that reconstitution operations for resuming normal business operations can be initiated.

Phase II - Activation Checklist

Phase II Activation – Alert/Notification and Relocation	
Item	Task
1	Receive notification of emergency
2	If necessary, conduct evacuation
3	Account for all staff
4	If necessary, contact Emergency Responders (Fire, Police, EMS)
5	Ensure that employee health and safety measures are put into effect
6	Contact Building Maintenance for shutting down utilities to limit further damage
7	Direct and assist emergency personnel as required
8	Notify Executive Management and activate Continuity Plan as necessary
9	If necessary, invoke Orders of Succession
10	Initiate notification of all staff including continuity personnel
11	Convene Divisional meeting at assembly area or other pre-determined site.
12	<p>Assemble supporting elements required for re-establishing and performing essential functions at continuity facility location:</p> <ul style="list-style-type: none"> ▪ Establish over all operational objectives ▪ Prioritize MEFs and set Recovery Time Objectives (RTOs) ▪ Identify critical staffing requirements and health/safety concerns ▪ Identify critical resource requirements ▪ Identify communication concerns <ul style="list-style-type: none"> - IT & T-Comm.'s Systems and equipment - Required Vital files, records and databases ▪ Discuss the Public and Employee information message
13	Assemble remaining documents required for performance of all other essential functions to be performed at the alternate facility location
14	Notify all support agencies and critical contacts of the activation.
15	Prepare designated communications and other equipment for relocation
16	Take appropriate preventive measures to protect other communications and equipment that will not be relocated
17	Make computer connectivity and phone line transfers to designated alternate facility
18	Ensure go-kits are complete and ready for transfer
19	Continuity personnel begin movement to continuity facility
20	Evaluate the safety of the selected continuity facility prior to deployment
21	Develop and deliver status report
22	Notify remaining staff and appropriate agencies of movement to continuity location

Phase III – Continuity of Operations Checklist

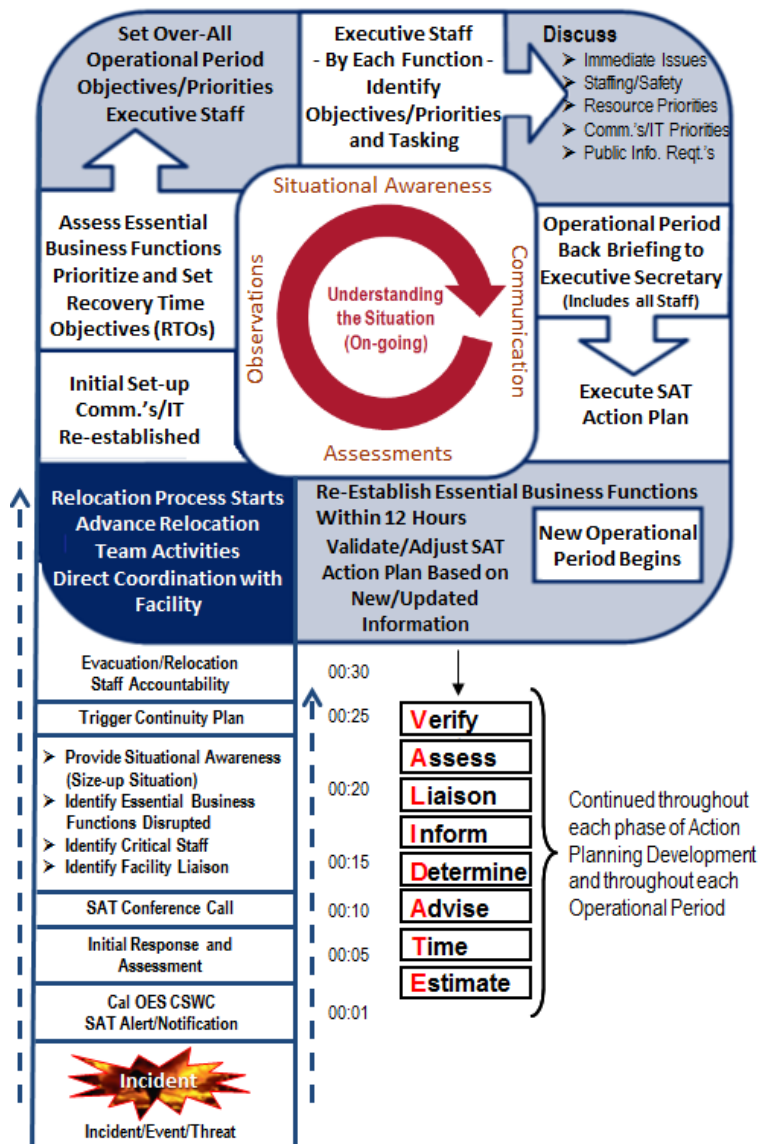
Phase III - Continuity Operations	
Item	Task
23	Notify other State and Federal agencies, and surrounding jurisdictions as appropriate that operations have shifted to a continuity facility.
24	Organize staff and account for non-continuity personnel
25	Develop shift rotations as required
26	Determine which mission essential functions have been affected
27	Develop and deliver status report
28	Prioritize remaining essential functions for restoration
29	Track status and restoration efforts of all essential functions
30	Administrative actions to assemble: <ul style="list-style-type: none"> Onsite telephone E-mail and telephone directory Workforce office plan
31	Occupy workspace: <ul style="list-style-type: none"> Stow gear and equipment Vital files, records and databases Test telephone, fax, e-mail, radio and other communications Establish communications with essential support and office elements
32	Ensure all vital records, systems and equipment are available at alternate facility location
33	Coordinate procurement of additional equipment, as required

Phase IV – Reconstitution and Recovery Checklist

Phase IV - Reconstitution and Recovery	
34	Appoint reconstitution team
35	Survey condition of original facility and determine feasibility of salvaging, restoring or returning to original facility when emergency subsides or is terminated
36	Develop long term reconstitution and recovery plans should original facility cannot be re-occupied.
37	Inventory and salvage useable equipment, materials, records and supplies from damaged facility, if possible
38	Evaluate original or new facility to assure that all critical services and support are available and operational.
39	Conduct transition of mission essential functions, personnel and equipment from continuity facility back to designated facility
40	Conduct transition of remaining essential function, personnel and equipment from continuity facility back to designated facility
41	Schedule and conduct initial debrief with staff and identify key issues, lessons learned and best practices.

Senior Activation Team ICS "P" Cycle

Purpose: Achieve a proactive response by providing guidance to an organization from a Senior Activation Team (SAT) that establishes an initial action plan within the first 4 hours. The Planning "P" illustrates the incident planning process for the initial operational period and/or related all four continuity phases:



Continuity Action Planning Process

This Incident Command System (ICS) planning process helps establish Management by Objective (MBO) and operational priorities. This process becomes the roadmap for implementation by addressing five critical elements in re-establishing essential business functions with 12 hours of activation.

SAT INITIAL ACTION CHECKLIST

(Multi-hazard Incident Response Planning)

EDO through the Warning Center initiates alert/notification of SAT upon:

- ☐ Loss of infrastructure.
- ☐ Damage to facilities.
- ☐ Loss of communications/network.
- ☐ Localized HazMat event.

Within the first 5 minutes, determine whether initial SAT conference call will be conducted to obtain situational awareness and begin the planning process.

STEP 1 - ESTABLISH CURRENT OBJECTIVES

- ☐ Size-up situation – does Continuity Plan need to be implemented? If yes...
 - Identify alternate facility and trigger advance/relocation team.
- ☐ Identify and assign liaison officer with Incident Command.
- ☐ Establish organizational overall control objectives.
- ☐ Does incident impact essential business functions?
 - If so, prioritize and set targets for service resumption based on current assessment.
- ☐ Review organizational Mission Essential Functions (MEFs), prioritize and set targets for service resumption based on current assessment.
- ☐ Discuss immediate and emerging issues.

STEP 2 - ASSESS CRITICAL RESOURCE REQUIREMENTS

- ☐ Identify internal and external resource requirements to support activation. (Look at critical support requirements for 24, 48 and 72 hours plus.)
- ☐ Identify alternative ways of providing resource requirements following a disruption, the costs and implications.
- ☐ Quantify the people, technology, telephone and support resources required.
- ☐ Select, using a procurement process, the resource and service suppliers and products required to meet the essential functional needs.

STEP 3 - ASSESS CRITICAL STAFFING AND SAFETY

- ☐ Determine functional/critical staffing requirements.
- ☐ Identify health and safety issues or concerns.
- ☐ Identify communication/IT information flow procedures.
- ☐ Develop, review and approve Safety Message.
- ☐ Develop and manage an employee information line.
- ☐ Identify telecommuting policies and procedures related to the incident.

STEP 4 - ASSESS COMMUNICATION REQUIREMENTS (Internal/External)

- ☐ Provide means of communicating internally and externally.
- ☐ Provide a centralized flow of information as an incident/threat unfolds.
- ☐ Identify communication/IT system's needs (phone, radio, internet and support).
- ☐ Provide access to data/information systems to create a common operating picture and situational awareness.
- ☐ Develop and manage an employee information line/portal to pass critical information and updates.

STEP 5 - PUBLIC INFORMATION MESSAGE – (Internal/External)

- ☐ Gather and prepare information specific to this incident/threat.
- ☐ Identify any restrictions in content of media release information.
- ☐ Establish a unified message following the event with prompt and accurate responses to the public and media.
- ☐ Coordinate local Public Relations activities and determine strategies for communicating with the public and private sectors.
- ☐ Manage media information requests and public information/media releases.
- ☐ Monitor rumor control and set-up information line specific to this event.

Senior Activation Team Conference Call

Upon receipt of the request to notify and/or activate Senior Activation Team members, the emergency communication center sends out a script message (specific to the disruption, incident or threat). Message will provide brief situational awareness and primary crisis conference line information: [() - Passcodes: Leader: Participant:]. An alternate crisis conference number will be used as a contingency [() - Passcodes: Leader: Participant:]. All Senior Activation Team members will be advised to join the call within 5 to 10 minutes of notice.

Senior Activation Team Conference Call/Planning Meeting (10 to 20 Minute Duration)		
Agenda	Topics Covered	Responsible to Facilitate
<input type="checkbox"/> Roll Call	Attendees	Duty Officer/Lead Coordinator
<input type="checkbox"/> Situation Summary	Recap on current situation.	Duty Officer/Lead Coordinator
<input type="checkbox"/> Assess the Situation	Discuss/Assess the situation: <ul style="list-style-type: none"> What has occurred? What actions are currently being taken? What end result is anticipated? (determine best course of action) Possible Courses of Action: <ul style="list-style-type: none"> Remain and operate with functional limitations Implement Continuity Plan and relocate to? Implement Devolution Plan (Active or Passive) 	Duty Officer/Lead Coordinator or designee recommends set Course of Action (COA)
<input type="checkbox"/> Situational Assessment	Discuss immediate issues and emerging issues that impact division essential functions. Identify and assign a liaison officer to Incident Command (if required).	Director of Operations or designee Feedback from all SAT Members Facilities Manager/IC provide situational updates
<input type="checkbox"/> Action Plan Objectives & Priorities	Set overall objectives and priorities that focus on immediate and emerging issues impacting functional operations. Ensure set objectives and priorities meet current situational requirements. Look at both state and organizational essential functions when prioritizing & set recovery time resumption strategy (if required).	Duty Officer/Lead Coordinator or designee
<input type="checkbox"/> Critical Resource Status <input type="checkbox"/> Transportation Movement Plan	Identify critical resource requirements (in order of priority). Discuss movement plans for key personnel and equipment, if required.	Lead Coordinator, Executive Staff, Business Services Officer, Logistics Chief or designee
<input type="checkbox"/> IT/T-Comm.'s Update	Discuss communications plan, data, IT equipment, support functions, activities and issues that need to be resolved.	Chief Information Officer (CIO), Information Security Officer, Telecommunications or designee
<input type="checkbox"/> Health and Safety Update Employee Safety Concerns/ Issues <input type="checkbox"/> Assess/Identify Critical Staffing Needs <input type="checkbox"/> Set Organization Assignments	Discuss any health and safety concerns/issues that have direct impact on the planning process. Assess and identify critical staffing requirements to achieve overall objectives and set organizational assignments. Develop Message-for Employee Call In # and Safety Message	Human Resource Officer, EEO, Union, Business Services Officer or designee
<input type="checkbox"/> Public Information	Discuss public information/media and community relations needs/issues. Advise on issues related to employees, local and state government, private sector and the general public.	Public Information Officer (PIO) or designee
<input type="checkbox"/> Next Meeting	Confirm date, time and conference line to be used for next meeting. Identify any action items required for next meeting and adjourn.	Duty Officer/Lead Coordinator
Emergency Response Group Members Overall Responsibilities <ul style="list-style-type: none"> Each member must be prepared to provide an initial report of the impact to essential business functions, if required. Members make recommendations as to whether to suspend non-essential business functions and/or relocate to an alternate facility, based on the information received. Lead Coordinator or designee will make a determination based on the recommendations and provide direction on actions to be taken. Lead Coordinator or designee will determine the need for subsequent conference calls and provide the date and time information. 		

Senior Activation Team Initial Action Planning Worksheet

Senior Activation Team Initial Action Planning Process

1. ORGANIZATIONAL OVERALL CONTROL OBJECTIVES: (applies for the duration of the incident and/or continuity phase)

- Establish organizational overall control objectives.
 - Prioritize essential functions and establish resumption strategy
 - Collect, analysis, validate and disseminate critical information requirement
 - Stabilize the situation (identify and mitigate impacted essential business functions)
 - Integrate support efforts for a unified operational structure
 - Deliver coordinated, prompt, reliable, and actionable information that is clear and consistent
- Discuss current and emerging issues.

2. ESSENTIAL BUSINESS FUNCTION PRIORITIES: (executive staff essential business functions)

Organizational Structure	Essential Business Functions	Action Planning Process
<input type="checkbox"/>	Email Services Websites Databases Applications Communications Vital Services Critical Staffing Essential Records	Prioritize essential business function resumption strategy Identify Resource Requirements Assess staff and safety needs Assess comm.'s/IT requirements (internal and external) Develop Public information Message (internal and external)

Resumption Strategy (recovery time objectives - RTOs)

Immediate	6 Hours	12 Hours	24 Hours	48 Hours	72 Hours Plus

Notes: